

Please type a plus sign (+) inside this box ☐

Attorney Docket P1110P1

PATENT

CERTIFICATION UNDER 37 CFR 1.10

EM 168884188 US: Express Mail Number

June 12, 1998: Date of Deposit

I hereby certify that this Non-provisional Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.


Janet Tse

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION

Assistant Commissioner of Patents

Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

Avi J. Ashkenazi
Kevin P. Baker
Anan Chuntharapai
Austin Gurney
Kyung Jin Kim
William I. Wood

Title: Apo-2DcR

1. Type of Application

☐ This application is for an original, non-provisional application.

☒ This is a non-provisional application claiming priority to provisional application no. 60/049,911, filed 18 June 1997, the entire disclosure of which is hereby incorporated by reference.

☐ This is a ☐ continuation-in-part ☐ continuation ☐ divisional application claiming priority to application Serial Number ___, filed ___, the entire disclosure of which is hereby incorporated by reference.

2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)

(Non-provisional)

106 pages of specification

5 pages of claims

1 page(s) of abstract

06/12/98

36575 U.S. PTO

09096500-064298

18 sheet(s) of drawings
[X] formal [] informal

3. Declaration or Oath

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)

X An executed declaration of the inventor(s) [] is enclosed [X] will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)

 A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)

 A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. Assignment

(for new and CIP applications)

X An Assignment of the invention to GENENTECH, INC. [] is enclosed with attached Recordation Form Cover Sheet [X] will follow.

(for cont./div.)

 The prior application is assigned of record to Genentech, Inc.

5. Amendments (for continuation and divisional applications)

 Cancel in this application original claims ___ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

 A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119

 Amend the specification by inserting before the first line the sentence:

--This is a

 non-provisional application
 continuation
 divisional
 continuation-in-part

of co-pending application(s)

09096500-061298
362790-0059660

- ____ Serial No. __ filed on __, which application(s) is(are) incorporated herein by reference and to which application(s) priority is claimed under 35 USC §120. --
- ____ International Application __ filed on __ which designated the U.S., which application(s) is(are) incorporated herein by reference and to which application(s) priority is claimed under 35 USC §120.--
- ____ provisional application No. __ filed __, the entire disclosure of which is hereby incorporated by reference and to which application(s) priority is claimed under 35 USC §119.--.

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$790.00
Total Claims	58	- 20 =	38	X \$22.00	\$836.00
Independent Claims	31	- 3 =	28	X \$82.00	\$2,296.00
____ Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$3,922.00

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$3,922. **A duplicate copy of this transmittal is enclosed.**

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. Additional Papers Enclosed

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
- ☐ A new Power of Attorney or authorization of agent.
- ☐ Other:

10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)
*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

09096500 "061298

_____ A petition, fee and/or response has been filed to extend the term in the pending
prior application until
_____ A copy of the petition for extension of time in the *prior* application is attached.

11. Correspondence Address:

X Address all future communications to:

GENENTECH, INC.
Attn: Diane L. Marschang
1 DNA Way
South San Francisco, CA 94080-4990
(650) 225-5416

Respectfully submitted,
GENENTECH, INC.

Date: June 12, 1998

By: *Diane L. Marschang*
Diane L. Marschang
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0509500-061298

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Mailed 12 June 1998
Patent Docket P1110P1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Ashkenazi et al. Serial No.: To be assigned Filed: 12 June 1998 For: Apo-2DcR	Group Art Unit: To be assigned Examiner: To be assigned
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CERTIFICATE RE: SEQUENCE LISTING

UNDER 37 CFR § 1.821(f)

BOX SEQUENCE

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the content of the paper and computer readable copies are the same.

Respectfully submitted,
GENENTECH, INC.

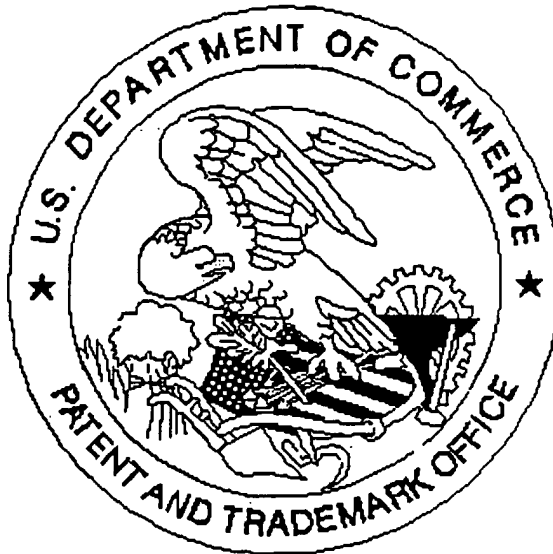
Date: June 12, 1998

By: Diane L. Marschang
Diane L. Marschang
Reg. No. 35,600

1 DNA Way
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Phone: (650) 225-5416
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United States Patent & Trademark Office

Office of Initial Patent Examination -- Scanning Division



Application deficiencies found during scanning:

1. Application papers are not suitable for scanning and are not in compliance with 37 CFR 1.52 because:
 - ☐ All sheets must be the same size and either A4 (21 cm x 29.7 cm) or 8-1/2" x 11". Pages _____ do not meet these requirements.
 - ☐ Papers are not flexible, strong, smooth, non-shiny, durable, and white.
 - ☐ Papers are not typewritten or mechanically printed in permanent ink on one side.
 - ☐ Papers contain improper margins. Each sheet must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4").
 - ☐ Papers contain hand lettering.
2. Drawings are not in compliance and were not scanned because:
 - ☐ The drawings or copy of drawings are not suitable for electronic reproduction.
 - ☐ All drawings sheets are not the same size. Pages must be either A4 (21 cm x 29.7 cm) or 8-1/2" x 11".
 - ☐ Each sheet must include a top and left margin of at least 2.5 cm (1"), a right margin of at least 1.5 cm (9/16") and a bottom margin of at least 1.0 cm (3/8").
3. Page(s) _____ are not of sufficient clarity, contrast and quality for electronic reproduction.
4. Page(s) _____ are missing.
5. OTHER: NO DECLARATION

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